



Joseph P. Borg, Director

# ALABAMA SECURITIES COMMISSION



**THE ASC MISSION IS TO PROTECT INVESTORS FROM SECURITIES FRAUD  
AND PRESERVE LEGITIMATE CAPITAL MARKETS IN ALABAMA.**

## FREE SERVICES FOR ALABAMIANS:

- ✓ ACCESS TO NEW WEBSITE: [www.asc.alabama.gov](http://www.asc.alabama.gov)
- ✓ FRAUD PREVENTION DOWNLOADS AND MATERIALS.
- ✓ FRAUD PREVENTION INFORMATION AND TRAINING.
- ✓ PRESENTATIONS TO GROUPS.
- ✓ CHECK THE REGISTRATION/LICENSING AND  
BACKGROUND OF PERSON SELLING SECURITIES  
OR FINANCIAL ADVICE.
- ✓ CHECK TO SEE IF THE SECURITIES OFFERED ARE  
REGISTERED.
- ✓ ACCESS TO BASIC AND ECONOMICS CURRICULUM.
- ✓ CALL AND REPORT A SUSPECTED SECURITIES SCAM.
- ✓ ENFORCE THE ALABAMA SECURITIES ACT.

Contact ASC for inquiries regarding securities broker-dealers, agents, investment advisors, and investment advisor representatives, financial planners, the registration status of securities, to report suspected fraud, or obtain consumer information:

**Call:** 1-800-222-1253

**Fax:** 1-334-242-0240

**Email:** [asc@asc.alabama.gov](mailto:asc@asc.alabama.gov)

**Write:**

Alabama Securities Commission,  
770 Washington Ave., Suite 570,  
Montgomery, Alabama 36130-4700

**ASC Website:** [www.asc.alabama.gov](http://www.asc.alabama.gov)

The Alabama Securities Commission is a member of the North American Securities Administrators Association (NASAA), the oldest international organization devoted to investor protection. NASAA is a voluntary association whose membership consists of 67 state, provincial, and territorial securities administrators in the 50 states, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Canada, and Mexico. For more information about NASAA go to their website at: [www.nasaa.org](http://www.nasaa.org).